

10/26/01
U.S. PTO

BAKER BOTTS LLP

Please type a plus sign (+) inside this box → +

09-27-01 A

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. AP33567 070457.1062

First Inventor Arthur D. Kranzley

Title A Universal and * see attached

Express Mail Label No. EF321683285US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.
See 37 CFR 1.27.
- Specification [Total Pages 6]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
- Claim(s) [Total Sheets 2]
 - Abstract of the Disclosure [Total Sheets 1]
- Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
- Oath or Declaration [Total Pages]

 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

- Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of (when there is an assignee) Attorney
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other:

18. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP)

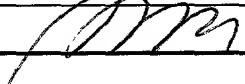
of prior application No.: _____

Prior application information: Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label		21003 (Insert Customer No. or Attach bar code label here)		or	<input type="checkbox"/> Correspondence address below	
Name						
Address						
City		State	Zip Code			
Country		Telephone	Fax			
Name (Print/Type)		Robert C. Scheinfeld		Registration No. (Attorney/Agent)		31,300
Signature				Date		9/26/01

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 710)

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Arthur D. Kranzley
Examiner Name	
Group Art Unit	
Attorney Docket No.	AP33567 070457.1062

METHOD OF PAYMENT	
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number 02-4377 Deposit Account Name Baker Botts LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27	
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other	

FEE CALCULATION																											
1. BASIC FILING FEE																											
Large Entity Small Entity <table> <thead> <tr> <th>Fee (\$)</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>710</td> <td>355</td> <td>Utility filing fee</td> <td>710</td> </tr> <tr> <td>320</td> <td>160</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>490</td> <td>245</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>710</td> <td>355</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>150</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> </tbody> </table>				Fee (\$)	Fee (\$)	Fee Description	Fee Paid	710	355	Utility filing fee	710	320	160	Design filing fee		490	245	Plant filing fee		710	355	Reissue filing fee		150	75	Provisional filing fee	
Fee (\$)	Fee (\$)	Fee Description	Fee Paid																								
710	355	Utility filing fee	710																								
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490	245	Plant filing fee																									
710	355	Reissue filing fee																									
150	75	Provisional filing fee																									
SUBTOTAL (1) (\$ 710)																											

2. EXTRA CLAIM FEES																											
Total Claims	5	$.20** =$	0																								
Independent Claims	1	$.3** =$	0																								
Multiple Dependent																											
Large Entity Small Entity <table> <thead> <tr> <th>Fee (\$)</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>18</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>80</td> <td>40</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>270</td> <td>135</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>80</td> <td>40</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>18</td> <td>9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> </tbody> </table>				Fee (\$)	Fee (\$)	Fee Description	Fee Paid	18	9	Claims in excess of 20		80	40	Independent claims in excess of 3		270	135	Multiple dependent claim, if not paid		80	40	** Reissue independent claims over original patent		18	9	** Reissue claims in excess of 20 and over original patent	
Fee (\$)	Fee (\$)	Fee Description	Fee Paid																								
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80	40	** Reissue independent claims over original patent																									
18	9	** Reissue claims in excess of 20 and over original patent																									
SUBTOTAL (2) (\$ 0)																											

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)			
3. ADDITIONAL FEES			
Large Entity	Small Entity	Fee Description	Fee Paid
Fee (\$)	Fee (\$)		
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
390	195	Extension for reply within second month	
890	445	Extension for reply within third month	
1,390	695	Extension for reply within fourth month	
1,890	945	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination (RCE)	
900	900	Request for expedited examination of a design application	
Other fee (specify)			
*Reduced by Basic Filing Fee Paid			SUBTOTAL (3) (\$ 0)

SUBMITTED BY					
Name (Print/Type)	Robert C. Scheinfeld	Registration No. (Attorney/Agent)	31,300	Telephone	212.408-2512
Signature				Date	9/26/01

Addendum Sheet 1***Question 4 Addendum**4.a. Drawings are formal informal*** Question 5 Addendum**5.c. An unsigned oath or declaration is included.*** Question 8 Addendum**8.d. A sequence submission will follow.*** Question 9 Addendum**9.a. Assignment documents will follow.9.b. Assignment documents have been filed in
parent application No.*** Question 11 Addendum**11.a. English translation will follow.*** Question 12 Addendum**12.a. Copies of IDS citations will follow.*** Question 15 Addendum**15.a. Certified copies of priority documents will follow.15.b. Certified copies of priority documents have been filed in parent
application No.

Use the space below for additional information

Title (continued):

A Universal and Interoperable System and Method Utilizing a Universal Cardholder
Authentication Field (UCAF) for Authentication Data Collection and Validation

BAKER BOTTS LLP

Att Docket #: AP33567 070457.1062

Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)

of prior application No.: _____

Prior application information.

Examiner _____

Group Art Unit: _____

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)

of prior application No.: _____

Prior application information

Examiner _____

Group Art Unit: _____



Amend the specification by inserting before the first line the sentence(s)

"This application is a Continuation Divisional Continuation-in-part (CIP) of:

"This application is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

Foreign Applications:

Country: _____

Serial No: _____

Filing Date: _____

Country: _____

Serial No: _____

Filing Date: _____

Country: _____

Serial No: _____

Filing Date: _____

Provisional Applications:

Serial No: 60/235,738

Filing Date: 9/27/00

Serial No: _____

Filing Date: _____

Serial No: _____

Filing Date: _____

BAKER BOTTS LLP

Certificate of Mailing under 37 CFR 1.8

I hereby certify that this correspondence* is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Assistant Commissioner for Patents
Washington, D.C. 20231

on September 26, 2001.

Date


Signature

Robert C. Scheinfeld

Typed or printed name of person of signing Certificate



Express Mail Label No: EF321683285US

* Correspondence